

Receipt #2



- 1 -

**PATENT  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**APPLICANT(S):** William P. Newton, Robert M. Lucci, and Thomas F. Batten  
**APPLN. NO:** 08/839,161  
**FILED:** 22 April 1997      **ART UNIT:** 3509  
**TITLE:** SUPPORT SYSTEM FOR Laterally Removable SASH

**RECEIVED**

**DEC 04 1997**

**REQUEST FOR CORRECTION OF FILING DATE  
AND FOR CORRECTED OFFICIAL FILING RECEIPT AND GROUP 3500  
CORRECTED NOTICE OF RECORDATION OF ASSIGNMENT  
DOCUMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**RECEIVED**

**DEC 04 1997**

Attention: Application Processing Division  
Customer Correction Branch

**GROUP 3500**

Dear Sir:

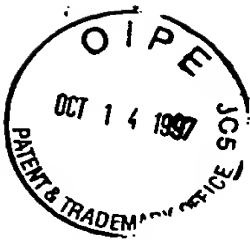
The 23 April 1997 filing date on the official Filing Receipt (copy enclosed) is wrong and should be 22 April 1997. This application was taken to a U.S. Post Office on 22 April 1997 and mailed by Express Mail. This is verified by the Express Mail Label No. EM323786795US receipt (copy enclosed) which shows "4-22-97".

Our Patent Application Transmittal Letter (copy enclosed) accompanying this application upon filing certifies by the Express Mail Label No. EM323786795US Certificate that this application and its accompanying papers (as listed on the Transmittal Letter) were mailed by Express Mail on 22 April 1997.

Our postcard (copy enclosed) that accompanied the application upon filing was incorrectly stamped 23 April 1997 by the Patent Office. However, we are aware that the postcard receipt is not an official record, so we have been waiting for the official Filing Receipt (which arrived 1 October 1997) to verify the filing date.

Our Recordation Form Cover Sheet (copy enclosed) that accompanied the original Assignment document (copy enclosed) is also incorrectly stamped 23 April 1997 by the Patent Office, with the same date also appearing in handwriting. This Cover Sheet also accompanied the application upon filing on 22 April 1997, which date we had stamped on the Cover Sheet on the date of filing by Express Mail. The Notice of Recordation of Assignment Document (copy enclosed) also incorrectly shows 04/23/97 as the Recordation Date.

Our original Power of Attorney and Certificate Under 37 CFR 3.73(b) (which has its required accompanying copy of the Assignment stapled to it) also bears the Patent Office incorrect stamped date of 23 April 1997. This original Power and Certificate (original enclosed) with the Assignment copy (copy enclosed) were returned to us by the Patent Office along with the Notice of Recordation. We are now returning these documents to the Patent Office to be kept in its file records for this application.



- 3 -

Therefore, in accordance with 37 CFR §1.10, we request that the Patent Office correct all of the above stated records to show that this application was filed on 22 April 1997. We also request that a corrected official Filing Receipt and a corrected Notice of Recordation of Assignment Document be sent to us.

### Verified Statement

I hereby verify that the above statements are true and that I went to a U.S. Post Office and mailed this application by Express Mail on 22 April 1997, the date certified on the Express Mail Certificate.

OCT 08 1997

Date

Carol Austin

Carol Austin

Respectfully submitted,  
EUGENE STEPHENS & ASSOCIATES

E. S. Stephens

Eugene S. Stephens, Reg. No. 20,649  
56 Windsor Street  
Rochester, New York 14605  
Phone: (716) 232-7700  
Facsimile: (716) 232-7188

ESS:cba

Enclosures

Dated: OCT 08 1997

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231.

Date of Deposit: OCT 08 1997

Signature: Carol Austin

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/839,161	04/23/97	3509	\$2,950.00		8	90	11

*Km*  
EUGENE S STEPHENS  
EUGENE STEPHENS & ASSOCIATES  
56 WINDSOR STREET  
ROCHESTER NY 14605

OCT 01 1997

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

WILLIAM P. NEWTON, SPENCERPORT, NY; ROBERT M. LUCCI,  
ROCHESTER, NY; THOMAS F. BATTEN, WEBSTER, NY.

FOREIGN FILING LICENSE GRANTED 09/12/97

TITLE

SUPPORT SYSTEM FOR Laterally Removable SASH

PRELIMINARY CLASS: 049

"Express Mail" Label No. EM 323786795US

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231.



Date of Deposit: APR 22 1997

Carol Austin  
Carol Austin

PTO/SB/05 (6-95)  
Approved for use through 06/30/98. OMB 0651-0032  
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**PATENT APPLICATION TRANSMITTAL LETTER**

Docket Number (Optional)

**To the Commilssioner of Patents and Trademarks:**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 CFR 1.53(b)(1) is the patent application of William P. Newton, Robert M. Lucci, and Thomas F. Batten

enlilled SUPPORT SYSTEM FOR LATERALLY REMOVABLE SASH

**Enclosed are:**

- ☒ 20 pages of written description, claims and abstract.
- ☒ 8 sheets of drawings.
- ☒ an assignment of the invention to Caldwell Manufacturing Company
- ☒ executed declaration of the inventors.
- ☐ a certified copy of a \_\_\_\_\_ application.
- ☒ ~~executed~~ power of attorney, and Certificate Under 37 CFR 3.73(b)
- ☐ a verified statement to establish small entity status under 37 CFR 1.9 and 1.27.
- ☐ information disclosure statement
- ☐ preliminary amendment
- ☐ other: \_\_\_\_\_

**CLAIMS AS FILED**

	NUMBER FILED	NUMBER EXTRA	RATE	FEE
BASIC FEE (37 CFR 1.16(a))			\$770	\$ 770
TOTAL CLAIMS (37 CFR 1.16(c))	90 - 20 =	70	x \$22	1540
INDEPENDENT CLAIMS (37 CFR 1.16(b))	11 - 3 =	8	x \$80	640
MULTIPLE DEPENDENT CLAIM PRESENT	(37 CFR 1.16(d))		\$	
* NUMBER EXTRA MUST BE ZERO OR LARGER		TOTAL		\$ 2950
If applicant has small entity status under 37 CFR 1.9 and 1.27, then divide total fee by 2, and enter amount here.			SMALL ENTITY TOTAL	\$

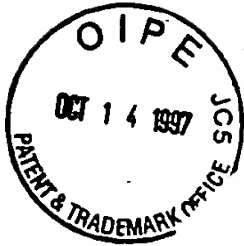
- ☒ A check in the amount of \$ 2950.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 19-4518 as described below. I have enclosed a duplicate copy of this sheet.
- ☐ Charge the amount of \$ \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 CFR 1.16 and 1.102.
- ☐ Charge the issue fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).

APR 22 1997

**Dale**

E S Stephens  
Signature  
Eugene S. Stephens, Reg. #20,649  
Typed or printed name  
Eugene Stephens & Associates  
Address  
56 Windsor Street  
Rochester, New York 14605

EM323786795US



WILLIAM P. NEWTON, ROBERT M. LUCCI, AND  
THOMAS F. BATTEN, NEW PATENT APPLICATION,  
SUPPORT SYSTEM FOR Laterally Removable SASH

RECEIPT OF: PATENT APPLICATION (20 PAGES) WITH  
EIGHT SHEETS OF DRAWINGS AND DECLARATION  
FORMS, TRANSMITTAL LETTER IN DUPLICATE WITH  
CHECK FOR \$2950 FILING FEE, POWER OF ATTORNEY  
AND CERTIFICATE UNDER 37 CFR 3.73(b) (WITH  
ASSIGNMENT COPY), AND ORIGINAL ASSIGNMENT  
WITH RECORDATION FORM COVER SHEET AND  
CHECK FOR \$40 RECORDING FEE [ALL MAILED  
EXPRESS 4/22/97] IS HEREBY ACKNOWLEDGED.

70886 U.S. PTO

08/839161



04/23/97



04/23/97

40581

1-31-92

OIP 56-05-1997

COVER SHEET

Patent and Trademark Office

ILY 08,839161

Send the attached original documents or copy thereof.

Name and address of receiving party(ies):

Name: Caldwell Manufacturing Company

Internal Address:

Street Address: 2605 Manitou Road

City Rochester State NY ZIP 14692

Additional name(s) & address(es) attached? ☐ Yes ☒ No

1. Name of conveying party: William P. Newton, Robert M. Lucci, and Thomas F. Batten

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 17 April 1997

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 17 Apr. 1997

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Eugene S. Stephens

Internal Address: Eugene Stephens & Associates

Street Address: 56 Windsor Street

City: Rochester State: NY ZIP 14605

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☐ Authorized to be changed to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Eugene S. Stephens

*E S Stephens*

APR 22 1997

Name of Person Signing

Signature

Date

Total number of pages

3

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

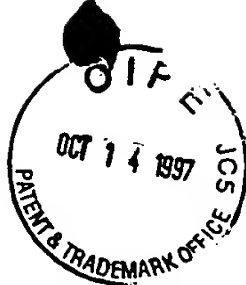
Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project, (0651-0011), Washington, D.C. 20503.

4/1997 VPRODH 3:581

MRD 4-23-97

1681  
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ROOM



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JULY 03, 1997

EUGENE STEPHENS & ASSOCIATES  
EUGENE S. STEPHENS  
56 WINDSOR STREET  
ROCHESTER, NY 14605

PTAS



\*100430893A\*

JUL 10 1997

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/23/1997

REEL/FRAME: 8528/0351  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

NEWTON, WILLIAM P.

DOC DATE: 04/17/1997

ASSIGNOR:

LUCCI, ROBERT M.

DOC DATE: 04/17/1997

ASSIGNOR:

BATTEN, THOMAS F.

DOC DATE: 04/17/1997

ASSIGNEE:

CALDWELL MANUFACTURING COMPABY  
2605 MANITOU ROAD  
ROCHESTER, NEW YORK 14692

SERIAL NUMBER: 08839161

PATENT NUMBER:

FILING DATE:

ISSUE DATE:



8528/0351 PAGE 2

KIMBERLY BARNES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

## **ASSIGNMENT**

**For good and valuable consideration, the ASSIGNOR(S):**

William P. Newton, 10 Winding Country Lane, Spencerport, New York, 14559; Robert M. Lucci, 3248 Winton Road South, Apt. K34, Rochester, New York, 14623; and Thomas F. Batten, 697 Hightower Way, Webster, New York, 14580,

**hereby assign(s) to the ASSIGNEE:**

Caldwell Manufacturing Company, 2605 Manitou Road, Rochester, New York, 14692, a New York corporation,

**the full and exclusive right, title, and interest**

to the invention disclosed in United States Patent Application entitled

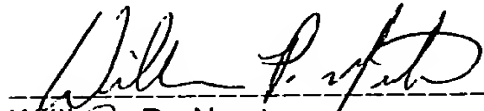
### **SUPPORT SYSTEM FOR LATERALLY REMOVABLE SASH**

executed the date of this Assignment and

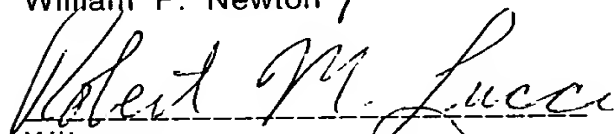
to all Letters Patent or similar legal protections throughout the world resulting from the application or any substitute or related applications disclosing common subject matter.

**ASSIGNOR(S)** guarantee(s) that no assignment, license, or encumbrance has been or will be made that would conflict with this Assignment.

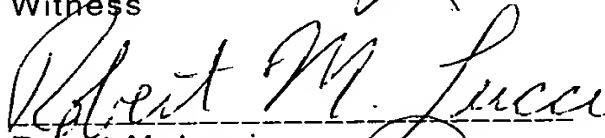
**ASSIGNOR(S)** agree(s) to cooperate fully in obtaining and enforcing the Letters Patent or similar protections, including communicating any relevant information, signing any lawful and relevant documents, and, at the request and expense of the **ASSIGNEE**, testifying in any legal proceedings.

  
\_\_\_\_\_  
William P. Newton

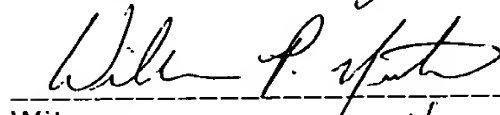
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Date 4/17/97

  
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Witness

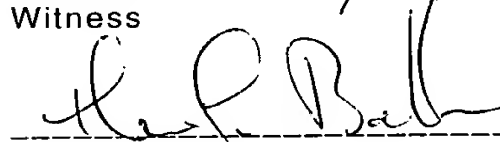
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Date 4/17/97

  
\_\_\_\_\_  
Robert M. Lucci

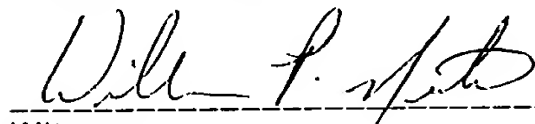
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Thomas F. Batten

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Date 4/17/97

  
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Date 4/17/97